

IN THE
UNITED STATES PATENT AND TRADEMARK OFFICE

Inventor(s): Hanks et al.

Confirmation No.:

Application No.: 10/661,394

Examiner:

Filing Date: 09/12/2003

Group Art Unit:

Title: Optical Disk Drive Focusing Apparatus

Commissioner for Patents
PO Box 1450
Alexandria, VA 22313-1450

INFORMATION DISCLOSURE STATEMENT

Sir:

This Information Disclosure Statement is submitted:

- ☒ under 37 CFR 1.97(b), or
(Within three months of filing national application; or date of entry of national application; or before mailing date of first office action on the merits; whichever occurs last)
- ☐ under 37 CFR 1.97 (c) together with either a:
☐ Statement under 37 CFR 1.97(e), or
☐ a \$180.00 fee under 37 CFR 1.17(p), or
(After the CFR 1.97 (b) time period, but before final action or notice of allowance, whichever occurs first)
- ☐ under 37 CFR 1.97 (d) together with a:
☐ Statement under 37 CFR 1.97(e)(1) or (2), and
☐ a \$180.00 fee set forth in 37 CFR 1.17(p).
(Filed after final action, a notice of allowance, on or before payment of the issue fee)

Please charge to Deposit Account **08-2025** the sum of \$0.00. At any time during the pendency of this application, please charge any fees required or credit any overpayment to Deposit Account **08-2025** pursuant to 37 CFR 1.25.

☒ Applicant(s) submit herewith Form PTO 1449 - Information Disclosure Statement together with any required copies of patents, publications or other information of which applicant(s) are aware, which applicant(s) believe(s) may be material to the examination of this application and for which there may be a duty to disclose in accordance with 37 CFR 1.56.

☐ A concise explanation of the relevance of foreign language patents, foreign language publications and other foreign language information listed on PTO Form 1449, as presently understood by the individuals(s) designated in 37 CFR 1.56 (c) most knowledgeable about the content is given on the attached sheet, or where a foreign language patent is cited in a search report or other action by a foreign patent office in a counterpart foreign application, an English language version of the search report or action which indicates the degree of relevance found by the foreign office is listed on form PTO 1449 and is enclosed herewith.

It is requested that the information disclosed herein be made of record in this application.

☒ I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Commissioner for Patents, Alexandria, VA 22313-1450. Date of Deposit: 11/18/03
OR

☐ I hereby certify that this paper is being transmitted to the Patent and Trademark Office facsimile number _____ on _____
Number of pages: _____

Typed Name: Carlin Taylor

Signature: Carlin Taylor

Respectfully submitted,

Hanks et al.

By David S. Thompson

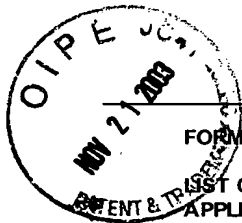
David S. Thompson

Attorney/Agent for Applicant(s)

Reg. No. 37,954

Date: 11/18/03

Telephone No.: (509) 324-9256



PATENT APPLICATION

Sheet 1 of 4

FORM PTO-1449

LIST OF PATENTS AND PUBLICATIONS FOR
APPLICANT'S INFORMATION DISCLOSURE
STATEMENT

(Use several sheets if necessary)

ATTY. DOCKET NO.

200313592-1

APPLICATION NO.

10/661,394

CONFIRMATION NO.

APPLICANT

Hanks et al.

FILING DATE

09/12/03

GROUP

REFERENCE DESIGNATION

U.S. PATENT DOCUMENTS

EXAMINER INITIAL		DOCUMENT NUMBER	PUBLICATION DATE	NAME	Pages, Columns, Lines Where Relevant Passages or Figures Appear
	1A	4,967,286	10/30/1990	Nomula et al.	
	1B	5,398,231	03/14/1995	Shin et al.	
	1C	5,498,509	03/12/1996	Shin et al.	
	1D	5,608,717	03/04/1997	Ito et al.	
	1E	5,608,718	03/04/1997	Schiewe	
	1F	5,627,895	05/06/1997	Owaki	
	1G	5,675,570	10/07/1997	Ohira et al.	
	1H	5,688,173	11/18/1997	Kitahara et al.	
	1I	5,729,533	03-17-1998	Marquardt	
	1J	5,748,607	05-05-1998	Ohira et al.	
	1K	5,751,671	05-12-1998	Koike et al.	

FOREIGN PATENT DOCUMENTS

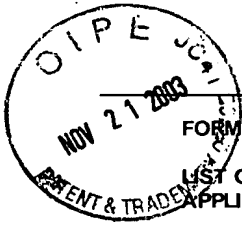
		DOCUMENT NUMBER	PUBLICATION DATE	NAME OF PATENTEE OR APPLICANT	Pages/Columns/Lines Where Relevant Passages/Figures Appear	Check if Translation attached
	1L					
	1M					
	1N					
	1O					
	1P					

OTHER REFERENCES (including Author, Title, Date, Pertinent Pages, etc.)

	1Q	
	1R	
	1S	

EXAMINER

DATE CONSIDERED



PATENT APPLICATION

Sheet 2 of 4

FORM PTO-1449

LIST OF PATENTS AND PUBLICATIONS FOR
APPLICANT'S INFORMATION DISCLOSURE
STATEMENT

(Use several sheets if necessary)

ATTY. DOCKET NO.

200313592-1

APPLICATION NO.

10/661,394

CONFIRMATION NO.

APPLICANT

Hanks et al.

FILING DATE

09/12/03

GROUP

REFERENCE DESIGNATION

U.S. PATENT DOCUMENTS

EXAMINER INITIAL		DOCUMENT NUMBER	PUBLICATION DATE	NAME	Pages, Columns, Lines Where Relevant Passages or Figures Appear
	1A	5,781,221	07/14/1998	Wen et al.	
	1B	5,766,495	06/16/1998	Parette	
	1C	5,846,131	12/08/1998	Kitahara	
	1D	5,875,156	02/23/1999	Ito et al.	
	1E	5,915,858	06/29/1999	Wen	
	1F	5,949,752	09/07/1999	Glynn et al.	
	1G	5,958,651	09/28/1999	Van Hoof et al.	
	1H	5,967,676	10/19/1999	Cutler et al.	
	1I	5,997,976	12/07/1999	Mueller et al.	
	1J	6,019,151	02/01/2000	Wen et al.	
	1K	6,034,930	03/07/2000	Kitahara	

FOREIGN PATENT DOCUMENTS

		DOCUMENT NUMBER	PUBLICATION DATE	NAME OF PATENTEE OR APPLICANT	Pages/Columns/Lines Where Relevant Passages/Figures Appear	Check if Translation attached
	1L					
	1M					
	1N					
	1O					
	1P					

OTHER REFERENCES (including Author, Title, Date, Pertinent Pages, etc.)

	1Q	
	1R	
	1S	

EXAMINER

DATE CONSIDERED



PATENT APPLICATION

Sheet 3 of 4

FORM PTO-1449

LIST OF PATENTS AND PUBLICATIONS FOR
APPLICANT'S INFORMATION DISCLOSURE
STATEMENT

(Use several sheets if necessary)

ATTY. DOCKET NO.

200313592-1

APPLICATION NO.

10/661,394

CONFIRMATION NO.

APPLICANT

Hanks et al.

FILING DATE

09/12/03

GROUP

REFERENCE DESIGNATION

U.S. PATENT DOCUMENTS

EXAMINER INITIAL		DOCUMENT NUMBER	PUBLICATION DATE	NAME	Pages, Columns, Lines Where Relevant Passages or Figures Appear
	1A	6,102,800	08/15/2000	Kitahara et al.	
	1B	6,104,677	08/15/2000	Kirihara et al.	
	1C	6,124,011	09/26/2000	Kern	
	1D	6,160,789	12/12/2000	Abraham	
	1E	6,202,550	03/20/2001	Lee et al.	
	1F	6,264,295	07/24/2001	Bradshaw et al.	
	1G	6,270,176	08/07/2001	Kahle	
	1H	6,384,929	05/07/2002	Miller	
	1I	6,386,667	05/14/2002	Cariffe	
	1J	6,403,191	06/11/2002	Casagrande	
	1K	6,440,248	08/27/2002	Mueller	

FOREIGN PATENT DOCUMENTS

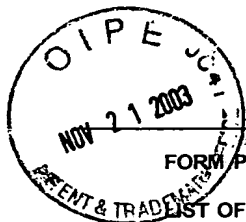
		DOCUMENT NUMBER	PUBLICATION DATE	NAME OF PATENTEE OR APPLICANT	Pages/Columns/Lines Where Relevant Passages/Figures Appear	Check if Translation attached
	1L					
	1M					
	1N					
	1O					
	1P					

OTHER REFERENCES (including Author, Title, Date, Pertinent Pages, etc.)

	1Q	
	1R	
	1S	

EXAMINER

DATE CONSIDERED



FORM PTO-1449

LIST OF PATENTS AND PUBLICATIONS FOR
APPLICANT'S INFORMATION DISCLOSURE
STATEMENT

(Use several sheets if necessary)

ATTY. DOCKET NO.

200313592-1

APPLICATION NO.

10/661,394

CONFIRMATION NO.

APPLICANT

Hanks et al.

FILING DATE

09/12/03

GROUP

REFERENCE DESIGNATION

U.S. PATENT DOCUMENTS

EXAMINER INITIAL		DOCUMENT NUMBER	PUBLICATION DATE	NAME	Pages, Columns, Lines Where Relevant Passages or Figures Appear
	1A	6,469,969	10/22/2002	Carson et al.	
	1B	6,074,031	06/13/2000	Kahle	
	1C	2002/0191517	12/19/2002	Honda et al.	
	1D				
	1E				
	1F				
	1G				
	1H				
	1I				
	1J				
	1K				

FOREIGN PATENT DOCUMENTS

		DOCUMENT NUMBER	PUBLICATION DATE	NAME OF PATENTEE OR APPLICANT	Pages/Columns/Lines Where Relevant Passages/Figures Appear	Check if Translation attached
	1L					
	1M					
	1N					
	1O					
	1P					

OTHER REFERENCES (including Author, Title, Date, Pertinent Pages, etc.)

	1Q	
	1R	
	1S	

EXAMINER

DATE CONSIDERED